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ABSTRACT

This is one of a series of monographs on the application of management principles to educational organizations. This monograph is devoted to identifying that way of managing that opens up a system and frees the individuals therein to voluntarily, willingly, even enthusiastically, strive to achieve the goals of the organization. Emphasis is placed on Rensis Likert's profile of organization and performance characteristics, Douglas MacGregor's Theory X and Theory Y, and Robert Blake's and Jane Mouton's managerial grid. Exercises that allow the reader to apply the ideas presented are included. (Author/IRT)

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san mateo county office of education

managerial styles

by

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THIS MONOGRAPH IS ONE OF A SERIES OF MONOGRAPHS ON APPLICATION OF MANAGEMENT PRINCIPLES TO EDUCATIONAL ORGANIZATIONS.

- *Developing Performance Objectives*
- *Establishing Goals and Goal Priorities*
- *Time Management*
- *Management by Objectives* *
- *Organizational Structure and Climate* *
- *Effective Meeting Management*
- *Program Evaluation*
- *Managerial Styles*

* *In process*

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THE FUNCTION OF A MANAGER

As nearly everyone knows,
an executive has practically nothing to do
except:

to decide what is to be done;
to tell somebody to do it;
to listen to reasons why it should not be done,
why it should be done in a different way,
or why it should be done by someone else;
to follow up to see if the thing has been done;
to discover that it has not;
to inquire why;
to listen to excuses from the person who should have done it;
to follow up again to see if the thing has been done, only
to discover that it has been done incorrectly;
to point out how it should have been done;
to conclude that as long as it has been done,
it may as well be left as it is;
to wonder if it is not time to get rid of a person
who cannot do a thing right;
to reflect that he probably has a wife and a large family;
and that certainly any successor would be just as bad,
and maybe worse;
to consider how much simpler and better the thing would have been done,
if one had done it oneself in the first place;
to reflect sadly that one could have done it right in twenty minutes,
and, as things turned out, one has had to spend two days,
to find out why it has taken three weeks
for somebody else to do it wrong.

(ANONYMOUS)

Morality vs. Amorality

"Like it, or not, larger organizations are becoming the qualitatively, socially, and morally decisive realm. It is in organizations, if anywhere, therefore, that our values will be achieved, that individual freedom will be attained."

MEN, MANAGEMENT, AND MORALITY
Robert T. Golembiewski (page 4)

"Strangely enough, authors who advance these conflicting theses (socialists and capitalists) about the historical origins of large scale bureaucracy, however, are in agreement concerning its consequences. Bureaucratization concentrates power in the hands of a few men and curtails the freedom of individuals that is essential for democracy."

BUREAUCRACY IN MODERN SOCIETY
Peter Blau (pages 114-115)

"If organizations were a complex of gears and drive shafts, the development of suitable theories of organization would not be onerous. That is, if a design were decided upon (a value choice), only factors like gear speed, the nature of materials and so on, would require attention. Such part to part relations are relatively uncomplicated.

But man is a prime component of organizations. These man-to-man relations add important dimensions to the difficulty of developing goal-based empirical theories of organization. Thus, it is necessary to know that such and such a leadership style will have such and such consequences for behavior which will accomplish the required job. In addition, however, the moral desirability of these behavioral consequences must be determined."

MAN, MANAGEMENT AND MORALITY
Robert T. Golembiewski (page 37)

This booklet on managerial style is devoted to identifying that way of managing which opens up a system and frees the individuals therein to voluntarily, willingly, even enthusiastically strive to achieve the goals of the organization.

I. First, a few basic concepts:

Any study of courses offered by the American Management Association, review of books written on management, or discussions with managers in business, industry, or government will bring forth fundamentally the same definition of a manager:

"A MANAGER IS ONE WHO OBTAINS RESULTS THROUGH OTHERS."

Management, therefore, is the science and art of obtaining results through people.

II. Functions of management can be set forth in from 5 to 10 elements as follows:

A.

"Science" of Management

1. Planning
   - objectives
   - methods/means
2. Organizing
   - application of human resources to plans
   - job definitions, etc.
3. Controlling
   - making certain that you're going where you plan to go

"Art" of Management

4. Climate
   - motivation
   - communication
   - environment
5. Leadership
   - style of leadership
6. Decision-managing
   - delegation of authority
   - modes of decision making
   - communication skills

(From L. J. Aggerbeck, President, L. J. Aggerback & Associates)

B. Management Functions

1. Motivating
2. Communicating
3. Problem Finding
4. Problem Solving
5. Decision Making
6. Planning
7. Implementing
8. Controlling
9. Evaluating
10. Diffusing

(From Rensis Likert, Director, Institute for Social Research, University of Michigan)

C. Management Functions

1. Planning - The act of predetermining future events, resource allocations, and objectives to be accomplished.
2. Organizing - The act of arranging functions, grouping activities, and structuring roles of people to support plans for action.
3. Staffing - The act of providing a sufficient supply of competent people to support the plans and organizational structure.
4. Directing - The act of deciding who must do what by when; communicating the decisions and motivating people to accomplish the expected results.
5. Controlling - The act of measuring, identifying, and correcting variance from plan to insure the accomplishment of objectives.

(From John R. Van de Water Associates)

D. A concept of managing for managers at any level

Managing Planning, directing and controlling the activities of subordinates to achieve or exceed objectives

Planning Determining what needs to be done, by whom and by when, to fulfill one's assigned responsibility

Objective: A goal, target, or quota to be achieved by a certain time

Program: Strategy to be followed and major actions to be taken to achieve or exceed objectives

Schedule: A plan showing when individual or group activities or accomplishments will be started and/or completed

Budget: Planned expenditures required to achieve or exceed objectives

Forecast: A projection of what will happen by a certain time

Organization: Design of the number and kinds of positions, along with corresponding duties and responsibilities, required to achieve or exceed objectives

Policy: A general guide for decision making and individual actions

Procedure: A detailed method for carrying out a policy

Standard: A level of individual or group performance defined as adequate or acceptable

Directing Implementing and carrying out approved plans through subordinates to achieve or exceed objectives

Staffing: Seeing that a qualified person is selected for each position

Training: Teaching individuals or groups how to fulfill their duties and responsibilities

Supervising: Giving subordinates day-to-day instruction, guidance, and discipline as required for them to fulfill their duties and responsibilities

Delegating: Assigning work, responsibility, and authority so subordinates can make maximum use of their abilities

Motivating: Encouraging subordinates to perform by fulfilling or appealing to their needs

Counseling: Holding private discussion with a subordinate about how he might do better work, solve a personal problem, or realize his ambitions

Coordinating: Seeing that activities are carried out in relation to their importance with a minimum of conflict

Controlling — Measuring progress toward objectives, evaluating what needs to be done, and then taking corrective action to achive or exceed objectives

Measuring: Determining through formal and informal reports the degree to which progress toward objectives is being made

Evaluating: Determining causes of and possible ways to act upon significant deviations from planned performance

Correcting: Taking control action to correct an unfavorable trend or to take advantage of an unusually favorable trend

Integrative Elements

Deciding: Making a judgment about a course of action to be taken

Communicating: Exchanging information with subordinates, associates, superiors, and others about plans, progress, and problems

Improving: Developing more effective and/or economical methods of managing

---

Loen, Raymond O., MANAGE MORE BY DOING LESS, McGraw Hill, 1971.

E. Management Effectiveness Areas

Educational and Management System

Philosophy, Goals, Objectives and Policies

Educational Needs Assessment
Organization and Management Needs Assessment
Community and District Profile

Organization Delivery System

Unit and Individual Effectiveness Areas
Curriculum and Teaching Technology
Facilities, Budget, Personnel, and Transportation
Operational Procedures, Rules and Patterns

Management Teams (Team Building)

Vertical Teams
Lateral Teams

Accountability and Research Information (Evaluation)

Performance Criteria
Evaluation Design
Feedback System

Staff Competence and Development

Individual Career Plans
Individual Performance Improvement Plans
Organization Staff Development System

Community Support and Coalition Building

Financial Resources
Program Support and Assistance

From: PEDR Urban Associates, Los Angeles, Ca.

III. Basic Components of the Management of an Organization

Two major elements of any organization which affect the health and productivity of the organization are:

- Organization Structure
- Managerial Style

A. Organization Structure

Organizations have evolved from the 1900's which spawned the "departmentalization, line/staff dichotomy, reduction of all work to its simplest form," principles of organization, to the open system of the 1960's and 1970's. (See Monograph on Organizational Structure for development of this topic.)

B. Managerial Style

- The "original" organizations were the military, the church, and the State. These depended upon the use of power to maintain themselves and were generally autocratic, centralized and punitive.
- With the use of the application of physical sciences to organizations such as time and motion studies and the advent of the behavioral sciences and their applications to organizations; e.g., Hawthorne Studies, there has been an evolution (and sometimes a revolution) to the present participative management thrust.
- Differences in managerial style have now been identified and investigated. Regardless of such identification and classification, it appears obvious that no one managerial style is always "right".
- The effective manager is one who recognizes the elements which will tell him which style is right for which occasion; e.g., It would be ridiculous to discuss with the troops the possible need to retreat when the enemy is bearing down on them with vastly superior forces. Likewise it would be

folly to order all employees to wear certain clothes regardless of their individual circumstances without a thorough-going discussion prior to any decision being made.

Selecting the appropriate style is generally dependent on three major variables:

1. The characteristics of the manager.

   - training
   - experience
   - assumptions about people
   - background - family, social ethnics, etc.
   - genetics
   - physical or physiological status
   - knowledge
   - skills
   - values and beliefs
   - self-image
   - beliefs about leadership
   - beliefs about the organization
   - personal goals and objectives

2. The characteristics of the staff, especially as their own goals and objectives relate to the organizational goals and objectives.

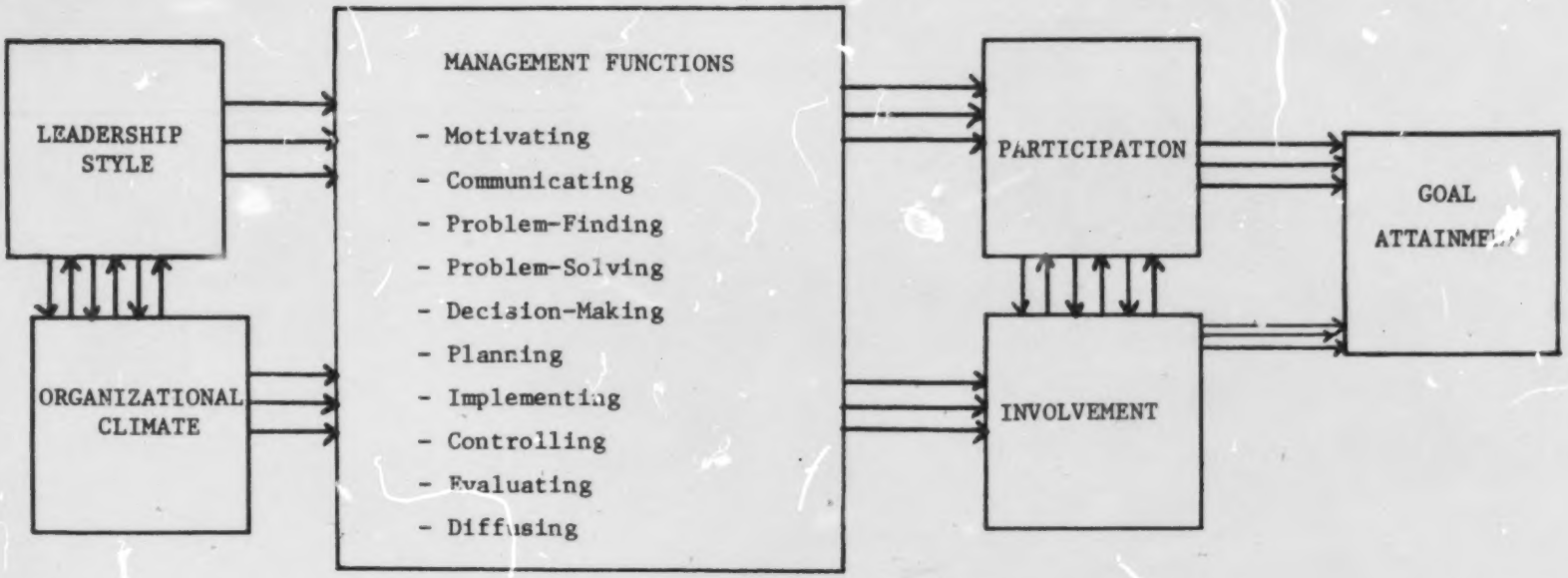
   - training
   - experience
   - assumptions about people
   - background - family, social ethnics, etc.
   - genetics
   - physical or physiological status
   - knowledge
   - skills
   - values and beliefs
   - self-image
   - beliefs about leadership
   - beliefs about the organization
   - personal goals and objectives

3. The environment within which the organization operates including goals and objectives of the organization.

   - culture of the organization
   - climate of the organization
   - expectations of the employees
   - nature of the job
   - time elements
   - organizational goals and objectives

- Management style implies a discreet identifiable style but this is not so - a person varies with the situation and the people with whom he works. A manager, however, does have a predilection or propensity toward a particular managerial style depending upon his or her characteristics (see 1 above).

GOAL-ATTAINMENT INFLUENCES OF LEADERSHIP STYLE AND ORGANIZATIONAL CLIMATE



THE LEADERSHIP STYLE AND ORGANIZATIONAL CLIMATE OF AN ORGANIZATION INFLUENCE MANAGEMENT FUNCTIONS WHICH IN TURN INFLUENCE PARTICIPATION AND INVOLVEMENT BY THE STAFF WHICH IN TURN AFFECTS THE ATTAINMENT OF ORGANIZATIONAL GOALS.

Rensis Likert, Director, Institute for Social Research
The University of Michigan

IV. Relationships between managerial style and organizational climate.

A. Rensis Likert (Institute for Social Research, University of Michigan) has developed a profile of organizational and performance characteristics. He identified four management systems and the organizational variables of each. Briefly stated, the four systems are:

Exploitive authoritative - represents the pole position of the bureaucratic model (System 1).

Benevolent authoritative - a more humanistic bureaucratic model (System 2).

Consultative - uses employee input prior to or as a part of the decision making process but is not truly group decision making (System 3).

Participative Group - the pole position of the open system (System 4).

The variables which he identified as distinctive among these four systems were:

- leadership
- motivation
- communications
- interaction - influence
- decision making
- goal setting
- control
- performance

It was originally devised to show the comparative differences among management systems but has been modified to measure the nature of the management system employed by an organization. (See Appendix A for the Profile.)

B. Based on his research in contemporary organizations, Likert (1961, 1967) concluded that a participative management style makes significantly better use of human resources and enhances the effectiveness of the organization.

The System 4 management style is based on three principles. The first is the manager's use of the principle of supportive relationships. The principle is stated as follows:

> The leadership and other processes of the organization must be such as to ensure a maximum probability that in all interactions and all relationships with the organization each member will, in the light of his background, values and expectations, view the experience as supportive and one which builds and maintains his sense of personal worth and importance. (Likert, 1961, p. 103)

Likert (1967) argues that the more fully this principle is applied throughout the organization, the greater will be the extent to which:

> ... (1) the motivational forces arising from the non-economic motives of members and from their economic needs will be harmonious and compatible, and (2) the motivational forces within each individual will result in cooperative behavior focused on achieving organizational goals. (p. 47)

The second principle of System 4 management is the manager's use of group decision-making and supervision. Likert recommends the use of multiple overlapping group structure in the organization. Integration is achieved by having people serve as "linking pins" between the various groups. Likert (1967) says:

> To perform the intended coordination well, a fundamental requirement must be met. The entire organization must consist of a multiple overlapping group structure with every work group using group decision-making processes skillfully. This requirement applies to the functional, product, and service departments. An organization meeting this requirement will have an effective interaction-influence system through which the relevant communications flow readily, the required influence is exerted laterally, upward, and downward, and the motivational forces needed for coordination are created. (p. 167)

The establishment by the manager of <u>high performance goals for the organization</u> is the third fundamental concept of the System 4 management style.

- To achieve and maintain high performance, it is necessary that the subordinates, as well as the superiors of an organization, have high performance goals and have their work well-organized.
- Subordinates are unlikely to set high performance goals for themselves and organize their work well if their superiors do not have such aspirations for each (subordinate and for the whole organization).
- A superior with high performance goals and excellent job organization is much more likely to have subordinates who set high goals for themselves and organize their work well when he uses group methods of supervision and applies the principle of supportive relationships effectively than when he does not. (Likert, 1967, p. 63)
- Likert argues that if a manager employs System 4 management style, his organization will develop an organizational climate characterized by greater cooperation, higher performance goals, and a higher motivation to produce; and the organization will attain higher productivity.

Likert's conclusions based upon this research are as follows:

Causal Variables

If a manager has:

Well-organized plan of operation

High performance goals

High technical competence
(manager or staff assistants)

and if the manager manages via:

SYSTEMS 1 or 2 e.g., uses	SYSTEM 4 e.g., uses
direct hierarchical pressure for results, including the usual contests and other practices of the traditional systems	principle of supportive relationships, group methods of supervision, and other principles of System 4

his organization will display:

Intervening Variables

Less group loyalty	Greater group loyalty
Lower performance goals	Higher performance goals
Greater conflict and less cooperation	Greater cooperation
Less technical assistance to peers	More technical assistance to peers
Greater feeling of unreasonable pressure	Less feeling of unreasonable pressure
Less favorable attitudes toward manager	More favorable attitudes toward manager
Lower motivation to produce	Higher motivation to produce

and his organization will attain:

End Result Variables

Lower sales volume	Higher sales volume
Higher sales costs	Lower sales costs
Lower quality of business sold	Higher quality of business sold
Lower earnings by salesmen	Higher earnings by salesmen

Fig. 4-10.

Likert, Rensis, The Human Organization, 1967, p. 76.

APPLICATIONS

1. Likert - Organizational variables and performance characteristics:

   A. Complete your analysis of these variables on Worksheet #1 as follows:

      (1) Place a "T" along the continuum for each of the organizational variables. This represents your view of the way <u>your organization</u> functions.

      (2) Place an "M" along the continuum for each of the organizational variables. This represents your view of the way <u>you</u> function as a manager.

      (3) Connect the "T's" with a solid line and the "M's" with a broken line.

   B. Analysis - The four sections of the continuum generally represent the four systems proposed by Likert. The far left section represents the exploitive authoritative system, the next section to the right represents the benevolent authoritative, the next section to the right represents the consultative and the far right the participative.

      Analyze the distance between the "T" and "M" lines (the greater the distance, the greater the disparity between the way you perceive the organization to function and the way you function).

      Also analyze which line is to the right of the other. (Ordinarily the "M" line is to the right of the "T" line: Most managers view themselves as more participative than they view others in the organization).

ORGANIZATIONAL VARIABLES

LEADERSHIP	How much confidence is shown in subordinates?	None | Condescending | Susbtantial | Complete
	How free do they feel to talk to superiors about job?	Not at all | Not very | Rather free | Fully free
	Are subordinates' ideas sought and used, if worthy?	Seldom | Sometimes | Usually | Always
MOTIVATION	Is predominant use made of 1) fear, 2) threats, 3) punishment, 4) rewards?	1, 2, 3, occasionally 4 | 4, some 3 | 4, some 3 and 5 | 5, 4, based on group
	Where is responsibility felt for achieving organization's goals?	Mostly at top | Top & Middle | Fairly General | At all levels
	How much cooperative teamwork exists?	None | Little | Some | Great deal
COMMUNICATIONS	What is the direction of information flow?	Downward | Mostly downward | Down & up | Down, Up, & sideways
	How is downward communication accepted?	With Suspicion | Possibly with suspicion | With Caution | With a receptive mind
	How accurate is upward communication ?	Often Wrong | Censored for the boss | Limited Accuracy | Accurate
	How well do superiors know problems faced by subordinates?	Know little | Some Knowledge | Quite well | Very well
DECISIONS	At what level are decisions made ?	Mostly at top | Policy at top, some delegation | Broad policy at top, more delegation | Throughout but well integrated
	Are subordinates involved in decisions related to their work?	Not at all | Occasionally consulted | Generally consulted | Fully involved
	What does decision-making process contribute to motivation?	Nothing, often weakens it | Relatively little | Some contribution | Substantial contribution
GOALS	How are organizational goals established?	Orders Issued | Orders, some comments invited | After discussion, by orders | By group action except in crisis
	How much hidden resistance to goals is present?	Strong Resistance | Moderate Resistance | Some resistance at times | Little or none
CONTROL	How concentrated are review and control functions?	Highly at top | Relatively highly at top | Moderate delegation to lower levels | Quite widely shared
	Is there an informal organization resisting the formal one?	Yes | Usually | Sometimes | No ..... same goals as formal
	What are cost, productivity, and other control data used for?	Policing, punishment | Reward & punishment | Reward some self-guidance | Self-guidance, problem-solving

Adapted from:
(Likert, Rensis, HUMAN ORGANIZATION, McGraw Hill, 1967, pp. 199-211.)

V. Assumptions about people as determiners of the manager's style.

Douglas MacGregor of the School of Industrial Management, M.I.T., developed a rationale for a dichotomy based upon certain assumptions about human beings. He called the two positions of this dichotomy Theory X and Theory Y.

THEORY X: The Traditional View of Direction and Control *

Behind every managerial decision or action are assumptions about human nature and human behavior. A few of these are remarkably pervasive. They are implicit in most of the literature of organization and in much current managerial policy and practice.

1. The average human being has an inherent dislike of work and will avoid it if he can.

   This assumption has deep roots. The punishment of Adam and Eve for eating the fruit of the Tree of Knowledge was to be banished from Eden into a world where they had to work for a living. The stress that management places on productivity, on the concept of "a fair day's work", on the evils of featherbedding and restriction of output, on rewards for performance--while it has a logic in terms of the objectives of enterprise--reflects an underlying belief that management must counteract an inherent human tendency to avoid work. The evidence for the correctness of this assumption would seem to most managers to be incontrovertible.

2. Because of this human characteristic of dislike of work, most people must be coerced, controlled, directed, threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.

   The dislike of work is so strong that even the promise of rewards is not generally enough to overcome it. People will accept the rewards and demand continually higher ones, but these alone will not produce the necessary effort. Only the threat of punishment will do the trick.

   The current wave of criticism of "human relations", the derogatory comments about "permissiveness" and "democracy" in industry, the trends in some companies toward recentralization after the postwar wave of decentralization--all these are assertions of the underlying assumption that people will only work under

external coercion and control. The recession of 1957-1958 ended a decade of experimentation with the "soft" managerial approach, and this assumption (which never really was abandoned) is being openly espoused once more.

3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all.

   This assumption of the "mediocrity of the masses" is rarely expressed so bluntly. In fact, a good deal of lip service is given to the ideal of the worth of the average human being. Our political and social values demand such public expressions. Nevertheless, a great many managers will give private support to this assumption, and it is easy to see it reflected in policy and practice. Paternalism has become a nasty word, but it is by no means a defunct managerial philosophy.

THEORY Y. The Integration of Individual and Organizational Goals *

The Assumptions of Theory Y

There have been few dramatic break-throughs in social science theory like those which have occurred in the physical sciences during the past half century. Nevertheless, the accumulation of knowledge about human behavior in many specialized fields has made possible the formulation of a number of generalizations which provide a modest beginning for new theory with respect to the management of human resources. Some of these assumptions were outlined in the discussion of motivation in Chapter 3. Some others, which will hereafter be referred to as Theory Y, are as follows:

1. The expenditure of physical and mental effort in work is as natural as play or rest.

   The average human being does not inherently dislike work. Depending upon controllable conditions, work may be a source of satisfaction (and will be voluntarily performed) or a source of punishment (and will be avoided if possible).

2. External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed.

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* McGregor, Douglas, THE HUMAN SIDE OF ENTERPRISE, McGraw-Hill Book Company, 1960.

3. Commitment to objectives is a function of the rewards associated with their achievement.

   The most significant of such rewards; e.g., the satisfaction of ego and self-actualization needs, can be direct products of effort directed toward organizational objectives.

4. The average human being learns, under proper conditions, not only to accept but to seek responsibility.

   Avoidance of responsibility, lack of ambition, and emphasis on security are generally consequences of experience, not inherent human characteristics.

5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.

6. Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized.

The Principle of Integration

The central principle of organization which derives from Theory X is that of direction and control through the exercise of authority-what has been called "the scalar principle." The central principle which derives from Theory Y is that of integration: The creation of conditions such that the members of the organization can achieve their own goals best by directing their efforts toward the success of the enterprise.

These assumptions involve very different implications for managerial style and organizational structure. Some examples of differences might be characterized as follows:

		Theory X	Theory Y
1.	Structure	Top down - line/staff decided by top management	Inter-disciplinary organic, developed by the employees
2.	Communication	Top down - bottom up screened carefully	Top down and bottom up minimum of screening
3.	Climate	Repressive - fault finding	Open - problem solving atmosphere
4.	Decision Making	Manager makes all decisions	Employee makes all decisions within parameters outlined by manager
5.	Employee Motivation	Fear, threats, punishment	Compensation and benefits developed through employee participation
6.	Procedure Determined	Top down	Employees develop procedures within management parameters
7.	Supervisor	Over-concern about process	Parameters defined; employee accountable for results
8.	Goals and Objectives	Set for the employee	Set up by the employee; reviewed with the manager
9.	Planning	Work planned for employee	Work planned with employee
10.	Budget Expenditures	Every expenditure scrutinized	Expenditures processed automatically with parameters set by manager

- It is also important to understand that neither Theory X nor Theory Y is good or bad. Both are merely sets of assumptions that managers make about human nature.
- Such assumptions do affect a manager's perceptions of his or her subordinates and those perceptions affect the way in which a manager behaves toward his or her subordinates.
- How a manager treats his or her subordinates tends to influence how the subordinates react to the manager; e.g., a manager assumes people don't like to work and that they have to be threatened with punishment to get them to work hard. These assumptions lead to perceptions of people as lazy, goofing off, not trying hard, etc. Together, the assumptions and perceptions cause a manager to be directive and punitive toward his workers, and possibly to reserve all decisions for himself, even when the subordinate has information necessary for an effective decision. This kind of behavior produces a negative reaction from the workers, an attitude and reaction that the manager may use to validate his or her initial Theory X assumptions in a reinforcing cycle.
- Our assumptions affect our perceptions, our perceptions influence our behavior, and how we behave toward people influences their reaction to us.
- It is not so important as to what set of assumptions managers hold. What is important is that managers be aware of their assumptions about people and how these affect their perceptions and behavior and the reactions of others.
- To be a more effective manager means to be more aware of and more explicit about one's underlying assumptions about people.
- The management philosophy of most managers is neither purely Theory X nor purely Theory Y, but a blend of the two with a tendency toward one or the other.

- The main idea in Theory X is that the manager's authority is used to control and direct the subordinate. A manager operating under Theory X assumptions tends to be authoritarian and directive, using threats and coercion.

- The main idea in Theory Y is the manager's recognition of his or her subordinates. Theory Y is built on the idea of subordinate self-control, collaboration and participation in decision-making. In actual application, there are probably situations where either idea makes sense for a manager to use.

APPLICATIONS

2. McGregor - The X-Y Scale:

- A. Part I
  - Complete the worksheet as to the various types of behaviors you would engage in if you were the supervisor. Place no more than 10 checkmarks - one per item.
- B. Part II
  - After reading the descriptions of the Theory X and Theory Y assumptions, place a mark on the continuum from Theory X (10) to Theory Y (40). This mark represents where you think you are in your managerial style in relation to the Theory X-Y assumptions.
- C. Analysis - Score Part II as follows:
  - All questions except 4 and 10 number the columns from left to right: 1-2-3-4
  - Questions 4 and 10 number the columns from right to left: 1-2-3-4
  - Add the total of the scores for your own responses and chart on the Theory X-Y continuum in Part II
  - Analyze the differences between your estimation and the numerical score derived from Part I.

SUPERVISORY ATTITUDES: THE X-Y SCALE

Part I

Directions: The following are various types of behavior which a supervisor (manager, leader) may engage in in relation to subordinates. Read each item carefully and then put a check mark in one of the columns to indicate what you would do.

If I were the supervisor, I would:	Make a Great Effort to Do This	Tend to Do This	Tend to Avoid Doing This	Make a Great Effort to Avoid This
1. Closely supervise my subordinates in order to get better work from them.				
2. Set the goals and objectives for my subordinates and sell them on the merits of my plans.				
3. Set up controls to assure that my subordinates are getting the job done.				
4. Encourage my subordinates to set their own goals and objectives.				
5. Make sure that my subordinates' work is planned out for them.				
6. Check with my subordinates daily to see if they need any help.				
7. Step in as soon as reports indicate that the job is slipping.				
8. Push my people to meet schedules if necessary.				
9. Have frequent meetings to keep in touch with what is going on.				
10. Allow subordinates to make important decisions.				

SUPERVISORY ATTITUDES: THE X-Y SCALE

Part II

Directions: Read the descriptions of the two theories of leadership below. Think about your own attitudes toward subordinates, and locate on the scale below where you think you are in reference to these sets of assumptions.

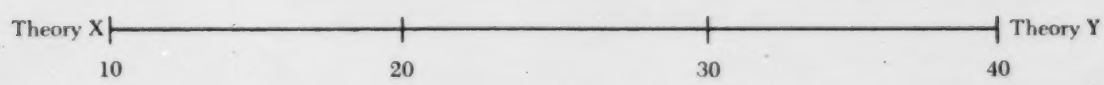
THEORY X ASSUMPTIONS

1. The average human being has an inherent dislike of work and will avoid it if he can.
2. Because of this human characteristic of dislike for work, most people must be coerced, controlled, directed, and threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all.

THEORY Y ASSUMPTIONS

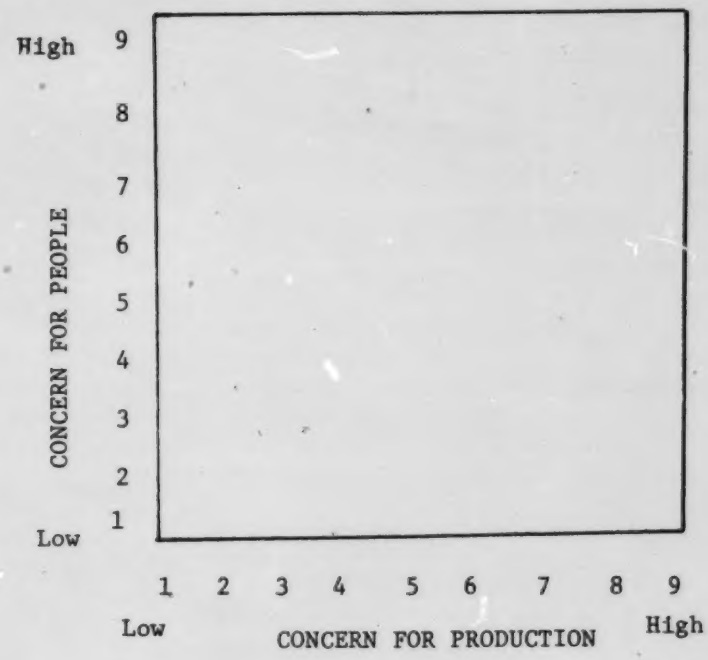
1. The expenditure of physical and mental effort in work is as natural as play or rest.
2. External control and the threat of punishment are not the only means of bringing about effort toward organizational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed.
3. Commitment to objectives is a function of the rewards associated with their achievement.
4. The average human being learns under proper conditions not only to accept but also to seek responsibility.
5. The capacity to exercise a high degree of imagination, ingenuity and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.
6. Under the conditions of modern industrial life the intellectual potentialities of the average human being are only partially utilized.

Indicate on the scale below where you would classify your own basic attitudes toward your subordinates in terms of McGregor's Theory X and Theory Y.



VI. The Managerial Grid concept was developed in the early 1960's by Robert Blake and Jane Mouten of the University of Texas. The objective was to identify various approaches to management which could facilitate attainment of the purposes of an organization (production) and also enhance the organizational life of the employees.

The model envisions a grid with concern for production as one axis and concern for people as the other axis.



Several styles of management were identified and five selected as most typical in terms of identifiable "types". The application of these organizational characteristics to these five styles is set forth on the following page. It should be remembered that few managers consistently manage in any one style. Styles vary according to situations and the people with whom the manager works.

CHARACTERISTICS	STYLES OF MANAGEMENT				
	9.1 (Scientific Management)	1.9 (Country-Club Management)	1.1 (Impoverished Management)	5.5 (Middle of the Road)	9.9 (Team Management)
Creativity	Enhances except that creativity aimed at defeating the organization	Stifles creativity (no exchange of ideas)	No creative solution	Tradition-oriented. Testing of proposals against past solutions	Premium on creativity synergistic
Commitment	To join forces to fight the organization	High commitment	Goal is to survive - not contribute	High commitment	Extremely high commitment
Conflict	Suppression of people	Avoids conflict. Does not confront problems	Retain neutrality	Keeps conflict under control through compromise	Conflict encouraged so as to capitalize on various points of view. Problem solving encouraged

APPLICATIONS

3. Blake - Managerial Grid:

- A. Section A.
  - Rank the five paragraphs from most (1) to least (5) typical of your behavior.

  Section B.
  - From the five elements given, circle only the one statement which best describes your typical behavior.
- B. Analysis - Section A (paragraphs).
  The five paragraphs describe the five general managerial grid classifications:

  a = 1.1
  b = 1.9
  c = 9.1
  d = 5.5
  e = 9.9

  - Analyze your response in relation to these classifications.
  - Section B. (elements) Score as follows:

For the letter circled under each element		Give yourself a score of
a	=	1.1
b	=	1.9
c	=	9.1
d	=	5.5
e	=	9.9

  - Add the five whole numbers (the first digit) and divide by five - round to the nearest whole number - this represents your "concern for production".

- Add the five fraction numbers (the second digit) and divide by five treating them as whole numbers. Round to the nearest whole number - this represents your "concern for people".

- Plotting your score on the grid:

    1. Place your score for the first digit (the concern for production) on the horizontal axis.
    2. Place your score for the second digit (the concern for people) on the vertical axis.
    3. Draw horizontal and vertical lines so they intersect - this indicates your relative position.

- Analyze your results.

APPLICATIONS ANSWER SHEET

Individual exercise: Blake Managerial Grid

Section A: Mark each item as indicated in the directions given.

Rank the following five paragraphs from most to least typical as a description of your behavior; 1 is the most typical, 2 is next most typical, and so on to 5 which is least typical of you. When you have finished ranking the paragraphs, there should be only one of each number from 1 to 5. There can be no ties.

____a. I accept decisions of others. I go along with opinions, attitudes and ideas of others or avoid taking sides. When conflict arises, I try to remain neutral or stay out of it. By remaining neutral I rarely get stirred up. My humor is seen by others as rather pointless.

____b. I place high value on maintaining good relations. I prefer to accept opinions, attitudes and ideas of others rather than to push my own. I try to avoid generating conflict. When it does appear, I try to soothe feelings and to keep people together. Because of the disturbance a temper flare produces, I strive to keep my emotions under control. My humor aims at maintaining friendly relations. When strains do arise, my humor shifts attention away from the serious side.

____c. I place high value on making decisions that stick. I stand up for my ideas, opinions, and attitudes, even though it sometimes results in stepping on toes. When conflict arises, I try to cut it off or to win my position. When things are not going right, my temper wells up. My humor is hard hitting.

____ d. I search for workable, even though not perfect, decisions. When ideas, opinions or attitudes different from my own appear, I initiate middle ground positions. When conflict arises, I try to be fair but firm and to get an equitable solution. I rarely lose my temper, but I tend to be impatient when things are not moving. My humor sells myself or a position.

____e. I place high value on getting sound creative decisions that result in understanding and agreement. I listen for and seek out ideas, opinions and attitudes different from my own. I have clear convictions but respond to sound ideas by changing my mind. When conflict arises, I try to identify reasons for it and to resolve underlying causes. I rarely lose my temper, even when stirred up. My humor fits the situation and gives perspective; I retain a sense of humor even under pressure.

APPLICATIONS ANSWER SHEET

Section B: Mark each item as indicated in the directions given.

Consider all of the Element 1 statements below (a1,b1,c1, d1 and e1) and select from them the one which best describes your behavior. Circle the one which typifies you best. Do the same for Element 2. Follow the same procedure for Elements 3, 4 and 5.

Element 1: Decisions

a1. I accept the decisions of others.

b1. I place high value on maintaining good relations.

c1. I place high value on making decisions that stick.

d1. I search for workable, even though not perfect, decisions.

e1. I place high value on getting sound creative decisions that result in understanding and agreement.

Element 2: Convictions

a2. I go along with opinions, attitudes and ideas of others or avoid taking sides.

b2. I prefer to accept opinions, attitudes and ideas of others rather than to push my own.

c2. I stand up for my ideas, opinions and attitudes, even though it sometimes results in stepping on toes.

d2. When ideas, opinions or attitudes different from my own appear, I initiate middle-ground positions.

e2. I listen for and seek out ideas, opinions and attitudes different from my own. I have clear convictions but respond to sound ideas by changing my mind.

Element 3: Conflict

a3. When conflict arises, I try to remain neutral and stay out of it.

b3. I try to avoid generating conflict. When it does appear, I try to smooth feelings and to keep people together.

c3. When conflict arises, I try to cut it off or to win my position.

d3. When conflict arises, I try to be fair but firm and to get an equitable solution.

e3. When conflict arises, I try to identify reasons for it and to resolve underlying causes.

Element 4: Temper

a4. By remaining neutral, I rarely get stirred up.

b4. Because of the disturbance a temper flare produces, I strive to keep my emotions under control.

c4. When things are not going right, my temper wells up.

d4. I rarely lose my temper but tend to be impatient when things are not moving.

e4. I rarely lose my temper, even when stirred up.

APPLICATIONS ANSWER SHEET

Element 5: Humor

a5. My humor is seen by others as rather pointless.

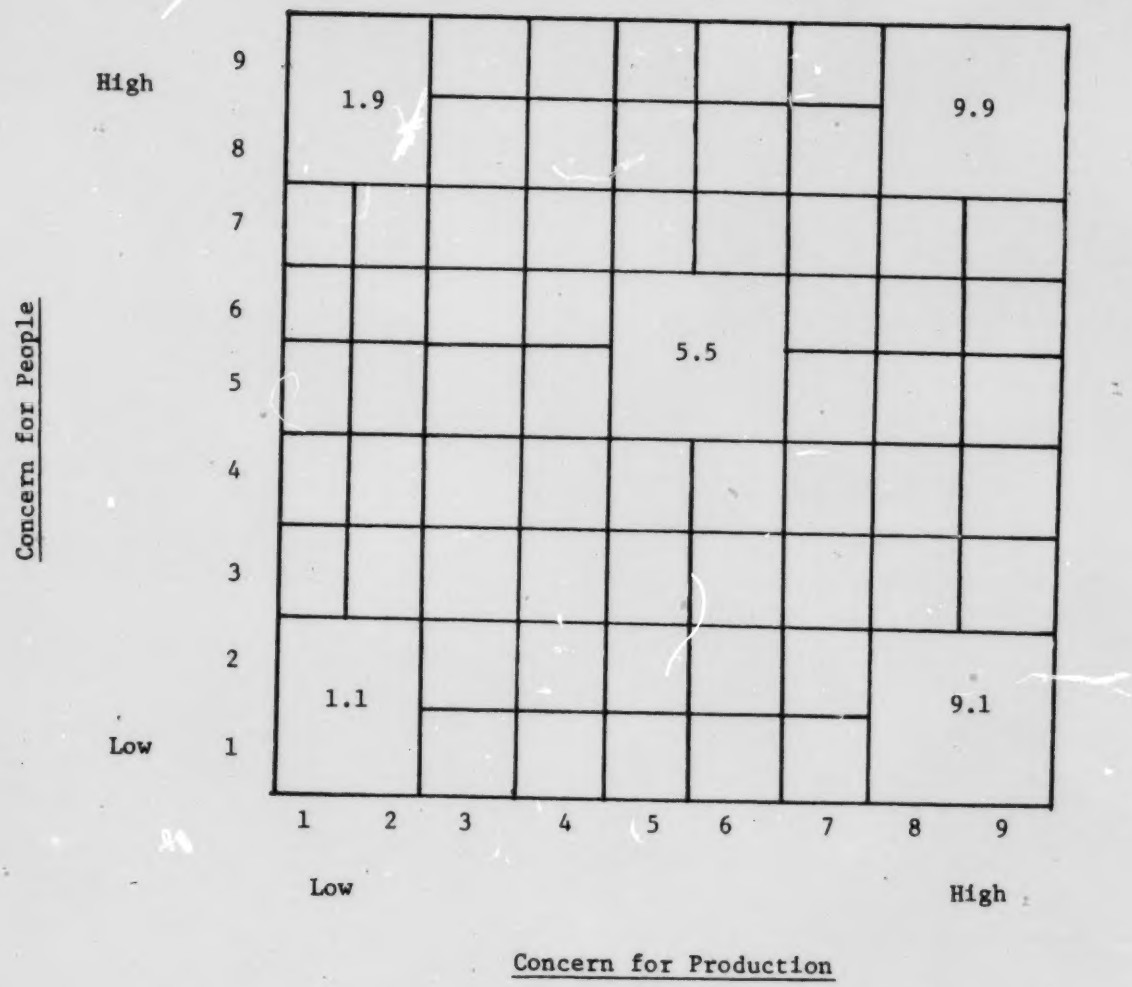
b5. My humor aims at maintaining friendly relations or when strains do arise, it shifts attention away from the serious side.

c5. My humor is hard hitting.

d5. My humor sells myself or a position.

e5. My humor fits the situation and gives perspective; I retain a sense of humor even under pressure.

MANAGERIAL GRID DETERMINATION



APPLICATIONS ANSWER SHEET DESCRIPTIONS

1.1 Indicates both low concern for people and for results. This type of manager tends to exert minimum effort, to do just enough to sustain his position in the organization. His organization tends to remain stable and unchanging, with everyone doing his own thing. This type of manager has been characterized as the "status-seeker" or the "prestige and image builder."

1.9 Indicates high concern for people, but little or no concern for results. This manager pays thoughtful attention to the needs of his people for satisfying relationships. This leads to a comfortable friendly atmosphere and work tempo. This type of organization is often characterized by over-emphasis on social amenities and polite manners. Arguments and conflicts become social sins. It is not "nice" to rock the boat. Conformity to group standards is expected. This has been called the "country-club" management style.

5.5 Settles for adequate results by balancing the need to get work done with the need to maintain a satisfactory staff morale level. Ironically, many people in this type of organization are bored to death. There is no challenge or stimulation because the manager has settled for lower expectations which many people find very comfortable. This has been called the "Grand Compromise" style.

9.1 Indicates high emphasis on results or production--little, if any, concern for the people. Efficiency results from rigidly-structured work conditions so that the human element interferes as little as possible. This is often called the "Produce or Perish" style.

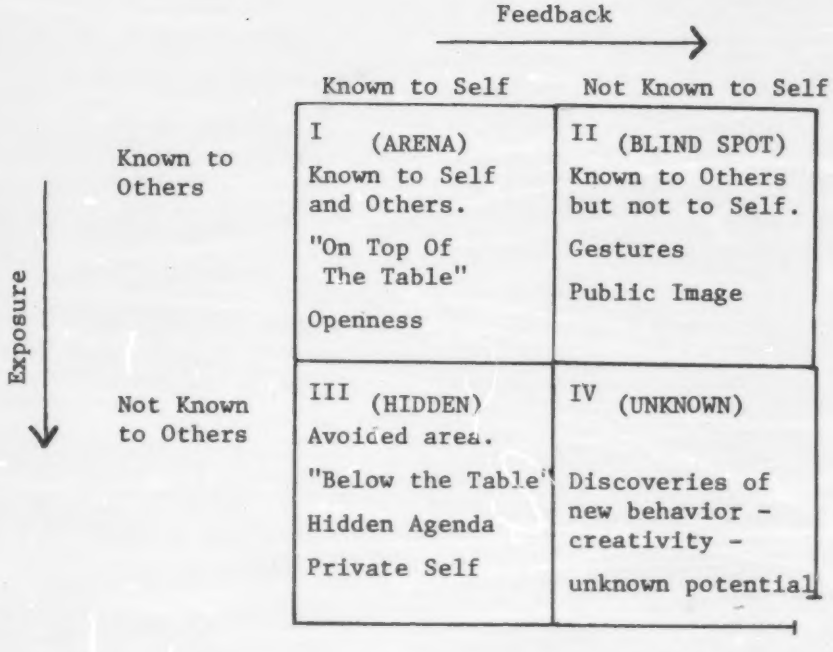
9.9 Indicates a high-level of concern for both people and results. People produce more work of better quality because through involvement they have developed commitment. There is a feeling of interdependence and a common-stake in the organization purpose and success. This feeling leads to relationships of trust and respect. This is sometimes referred to as the "team management style."

Based on findings in recent research, the 9.9 approach would appear to be the more effective in a human development and services enterprise such as education.

VII. The Johari Window is a concept developed by Joseph Luft and Harry Ingham as a model for soliciting and giving feedback. The application to managerial style is obvious. Every manager has a personal or self-image of his/her managerial style and the "public" also has an image of that style. It is imperative to a manager to know how he/she is perceived by others.

The Johari Window can be looked upon as a communication window through which a manager gives and receives information about himself and others.

The model is illustrated as follows:



Principles of the Johari Window

1. A large Area I means better communication, more self-awareness and increased influence on the behavior of others. It represents the knowledge one has of the impact he makes upon others and the impact others have upon him.

2. Decreasing Area II depends upon our willingness to reveal or expose feelings and attitudes we have kept covered in Area III. If we are aggressive, withdraw or rationalize when we receive attitudes about ourselves from others, then this defensiveness will reduce their willingness to reveal to us.

3. Decreasing Area III calls for our willingness to expose more of our feelings and share information that is of value to the group we are in and is of value to the situation we share with them.

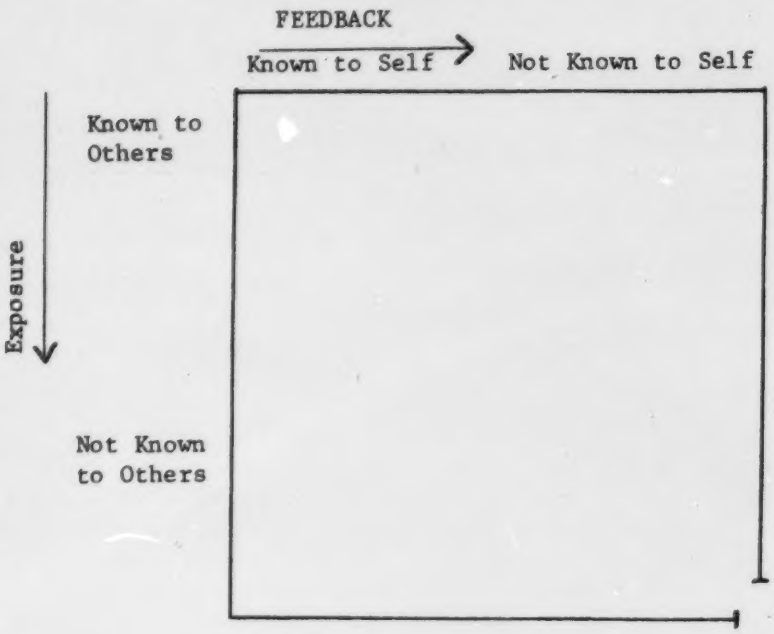
4. Area IV is unknown. It is those behaviors of ours that are currently unknown to ourselves and others. The open corner of this square indicates the future behaviors we will experience but are unknown in the present.

NOTES: We can use the Johari Window concept to describe an individual, a group, or the psychological climate of an industrial organization. Although little use of the concept has been done in cross cultural works, there can be no doubt from anthropological studies that one can describe a culture in this manner.

APPLICATIONS

4. The Johari Window:

● A. Chart your own Johari Window as you feel it is.

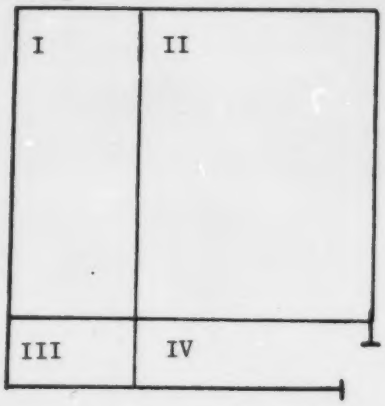


● B. Analyze your window in relation to the windows in the following examples.

APPLICATION

Autocratic

Hi Revealing Low Feedback (blindspot)



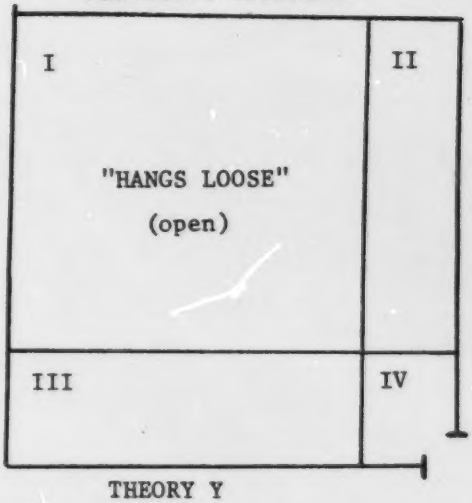
THEORY X

Adult to Child (T.A.)

Participative

Openness and Trust

Maximizes Influence



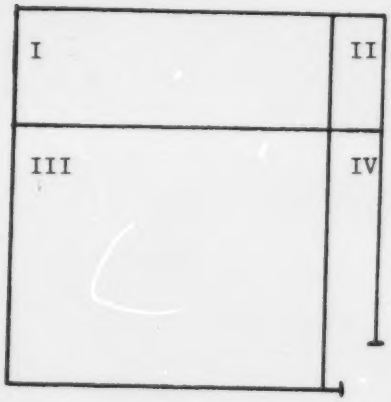
THEORY Y

Adult to Adult (T.A.)

Consultative

Low Revealing (suspicion)

Hi Feedback

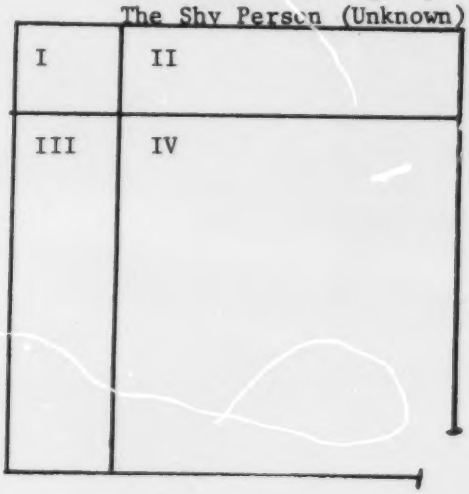


Permissive

The Polite Window

New Situations - groups

The Shy Person (Unknown)



Characteristics of an Effective Manager

Based on research as outlined by Likert, McGregor and others and verified in innumerable studies, an effective manager is one who:

- Operates an effective group decision-making system
- Actively assists in clarifying common objectives for his entire department or organization which objectives are in congruence with the overall objectives and goals
- Helps set objectives high enough to challenge individual staff members
- Assists in clarifying the roles of his staff members so that no one is overloaded nor overlapped in responsibilities
- Stresses results instead of methods
- Helps establish parameters for subordinate decision-making and standards of performance so that all are agreed on what constitutes success
- Communicates effectively and honestly up and down the organization
- Accepts responsibility for hard decisions and "no" answers instead of "bucking them" up the organization
- Reinforces success and achievement wherever found
- Plans ahead of changes so as to adapt to changing circumstances
- Uses the principle of supportive relationships; i.e., each member of the organization will view the experience as supportive and one which builds and maintains his sense of personal worth and importance

Development of Effective Managers

Effective managers are made, not born.

An organization interested in developing effective managers can do so by providing, insofar as possible, the following ideal conditions for the development of managers:

1. Managers at all levels in the organization understand the overall objectives of the business.
2. The basic principles, intentions, values, assumptions and beliefs of top management and each manager's superior are communicated and understood.
3. The particular functions or activities of each member of the organization are clearly understood by that member and by those with whom he deals.
4. Responsibility and authority have been delegated to the extent that each manager is challenged by his responsibilities and has the opportunity to make decisions and mistakes and to profit from these mistakes through guidance from his superiors.
5. Control and accountability have been established so that each manager has adequate information and guidance for periodical review of both his own and his subordinates' performance.
6. Current managerial practices do not conflict with the intent or prescriptions of the management development program.
7. Managers are willing to make the necessary commitment to change, to coach their subordinates, and to learn new skills themselves.
8. The informal organization and the personal beliefs and attitudes of non-managerial employees do not conflict with the objectives of the development effort.
9. Top management has the confidence of the members of the organization, and it is viewed as a good place to be employed.
10. The members of the organization are not experiencing anxieties resulting from such factors as punitive leadership practices, role conflict, role ambiguity, or excessive job pressures.

From House, Robert J., Management Development: Design, Evaluation and Implementation, Bureau of Industrial Relations, Ann Arbor, Mich., 1967.

SUMMARY

1. A manager is one who obtains results through others.
2. The functions of management can be placed in from 5 to 10 categories but generally include:
   - planning (including problem identification and solving)
   - organizing (including staffing and directing)
   - controlling (including evaluating)
   - climate setting (including motivating and communicating)
   - decision-making (including leadership style)
3. Two major elements of any organization which affect the health and productivity of an organization are:
   - organization structure
   - managerial style
4. No one managerial style correctly fits all circumstances. Three major variables determining the style to use are:
   - The goals and objectives of the organization.
   - The goals and objectives of the staff, especially as they relate to those of the organization.
   - The environment within which the organization operates.
5. Adherence to certain principles identifies the more effective manager. Some of them are:
   - Operates an effective group decision-making system
   - Sets high goals and objectives
   - Uses the principle of supportive relationships
6. Employees are generally happier and more productive working for managers who believe in and practice Theory Y concepts.
7. Effective managers are made not born. Any organization can enhance this process by providing certain conditions such as:
   - delegation of responsibility and authority
   - clarification and communication of functions and activities of each member of the organization
   - communication of overall objectives of the enterprise and values, assumptions, and beliefs of each manager's supervisor.
8. The leadership style and organizational climate of an organization influence management functions which in turn influence participation and involvement by the staff which in turn affects the attainment of organizational goals (See next page).

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APPENDIX A

Table 3-1 *

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS

Operating Characteristics	System of Organization			
	Authoritative		Participative	
	Exploitive Authoritative	Benevolent Authoritative	Consultative	Participative Group
1. Character of motivational forces				
a. Underlying motives tapped	Physical security, economic security, and some use of the desire for status	Economic and occasionally ego motives; e.g., the desire for status	Economic, ego and other major motives; e.g., desire for new experience	Full use of economic, ego and other major motives, as for example, motivational forces arising from group processes
b. Manner in which motives are used	Fear, threats, punishment, and occasional rewards	Rewards and some actual or potential punishment	Rewards, occasional punishment, and some involvement	Economic rewards based on compensation system developed through participation. Group participation and involvement in setting goals, improving methods, appraising progress toward goals, etc.

* From Rensis Likert, NEW PATTERNS OF MANAGEMENT, New York, McGraw-Hill Book Company, 1961.

Table 3-1 *

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS

Operating Characteristics	System of Organization			
	Authoritative		Participative	
	Exploitive Authoritative	Benevolent Authoritative	Consultative	Participative Group
c. Kinds of attitudes developed toward organization and its goals	Attitudes usually are hostile and counter to organization's goals	Attitudes are sometimes hostile and counter to organization's goals and are sometimes favorable to the organization's goals and support the behavior necessary to achieve them	Attitudes may be hostile but more often are favorable and support behavior implementing organization's goals	Attitudes generally are strongly favorable and provide powerful stimulation to behavior implementing organization's goals
d. Extent to which motivational forces conflict with or reinforce one another	Marked conflict of forces substantially reducing those motivational forces leading to behavior in support of the organization's goals	Conflict often exists occasionally forces will reinforce each other, at least partially	Some conflict, but often motivational forces will reinforce each other	Motivational forces generally reinforce each other in a substantial and cumulative manner
e. Amount of responsibility felt by each member of organization for achieving organization's goals	High levels of management feel responsibility; lower levels feel less. Rank and file feel little and often welcome opportunity	Managerial personnel usually feel responsibility; rank and file usually feel relatively little responsibility for achieving	Substantial proportion of personnel feel responsibility and generally behave in ways to achieve the organization's goals	Personnel feel real responsibility for organization's goals and are motivated to behave in ways to implement them

* From Rensis Likert, NEW PATTERNS OF MANAGEMENT, New York, McGraw-Hill Book Company, 1961.

Table 3-1 *

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS

Operating Characteristics	System of Organization			
	Authoritative		Participative	
	Exploitive Authoritative	Benevolent Authoritative	Consultative	Participative Group
	to behave in ways to defeat organization's goals	organization's goals		
f. Attitudes toward other members of the organization	Subservient attitudes toward superiors coupled with hostility; hostility toward peers; contempt for subordinates; distrust is widespread	Subservient attitudes toward superiors; competition for status resulting in hostility toward peers; condescension toward subordinates	Cooperative, reasonably favorable attitude toward others in organization; may be some competition between peers with resulting hostility and some condescension toward subordinates	Favorable, cooperative attitudes throughout the organization with mutual trust and confidence
g. Satisfactions derived	Usually dissatisfaction with membership in the organization, with supervision, and with one's own achievements	Dissatisfaction to moderate satisfaction with regard to membership in the organization, supervision, and one's own achievements	Some dissatisfaction to moderately high satisfaction with regard to membership in the organization, supervision, and one's own achievements	Relatively high satisfaction throughout the organization with regard to membership in the organization, supervision, and/or own achievements

* From Rensis Likert, NEW PATTERNS OF MANAGEMENT, New York, McGraw-Hill Book Company, 1961.

Table 3-1 *

ORGANIZATIONAL AND PERFORMANCE CHARACTERISTICS OF DIFFERENT MANAGEMENT SYSTEMS BASED ON A COMPARATIVE ANALYSIS

Operating Characteristics	System of Organization			
	Authoritative		Participative	
	Exploitive Authoritative	Benevolent Authoritative	Consultative	Participative Group
2. Character is communication process				
a. Amount of interaction and communication aimed at achieving organization's objectives	Very little	Little	Quite a bit	Much with both individuals and groups
b. Direction of information flow	Downward	Mostly downward	Down and up	Down, up, and with peers
c. Downward communication				
(1) Where initiated	At top of organization or to implement top directive	Primarily at top or patterned on communication from top	Patterned on communication from top but with some initiative at lower levels	Initiated at all levels
(2) Extent to which communications are accepted by subordinates	Viewed with great suspicion	May or may not be viewed with suspicion	Often accepted but at times viewed with suspicion. May or may not be openly questioned	Generally accepted, but if not openly and candidly questioned
d. Upward communication				

* From Rensis Likert, NEW PATTERNS OF MANAGEMENT, New York, McGraw-Hill Book Company, 1961.

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Operating Characteristics	System of Organization			
	Authoritative		Participative	
	Exploitive Authoritative	Benevolent Authoritative	Consultative	Participative Group
(1) Adequacy of upward communication via line organization	Very little	Limited	Some	A great deal
(2) Subordinates' feeling of responsibility for initiating accurate upward communication	None at all	Relatively little, usually communicates "filtered" information but only when requested. May "yes" the boss	Some to moderate degree of responsibility to initiate accurate upward communication	Considerable responsibility felt and much initiative Group communicates all relevant information
(3) Forces leading to accurate or distorted information	Powerful forces to distort information and deceive superiors	Occasional forces to distort; also forces for honest communication	Some forces to distort along with many forces to communicate accurately	Virtually no forces to distort and powerful forces to communicate accurately
(4) Accuracy of upward communication via line	Tends to be inaccurate	Information that boss wants to hear flows; other information is restricted and filtered	Information that boss wants to hear flows; other information may be limited or cautiously given	Accurate

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(5) Need for supplementary upward communication system	Need to supplement upward communication by spy system, suggestion system, or some similar devices	Upward communication often supplemented by suggestion system and similar devices	Slight need for supplementary system; suggestion system may be used	No need for any supplementary system
e. Sideward communication, its adequacy and accuracy	Usually poor because of competition between peers and corresponding hostility	Fairly poor because of competition between peers	Fair to good	Good to excellent
f. Psychological closeness of superiors to subordinates (i.e., how well does superior know and understand problems faced by subordinates?	Fall apart	Can be moderately close if proper roles are kept	Fairly close	Usually very close
3. Character of interaction-influence process				
a. Amount and charac-	Little interaction	Little interaction	Moderate inter-	Extensive, friendly

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er of interaction	and always with fear and distrust	and usually with some condescension by superiors; fear and caution by subordinates	action, often with fair amount of confidence and trust	interaction with high degree of confidence and trust
b. Amount of cooperative teamwork present	None	Virtually none	A moderate amount	Very substantial amount throughout the organization
c. Extent to which subordinates can influence the goals, methods, and activity of their units and departments				
(1) as seen by superiors	None	Virtually None	Moderate amount	A great deal
(2) as seen by subordinates	None except through "informal organization" or via unionization	Little except through "informal organization" or via unionization	Moderate amount both directly and via unionization	Substantial amount both directly and via unionization

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d. Amount of actual influence which supervisors can exercise over the goals, activity, and methods of their units and departments	Believed to be substantial but actually moderate unless capacity to exercise severe punishment is present	Moderate to somewhat more than moderate, especially for higher levels in organization	Moderate to substantial, especially for higher levels in organization	Substantial but often done indirectly, as, for example, by superior building effective inter-action influence system
e. Extent to which an adequate structure exists for the flow of information from one part of the organization to another, thereby enabling influence to be exerted	Downward only	Almost entirely downward	Largely downward but small to moderate capacity for upward and between peers	Capacity for information to flow in all directions from all levels and for influence to be exerted by all units on all units
4. Character of decision making process				
a. At what level in organization are decisions	Bulk of decisions at top of organization	Policy at top, many decisions within prescribed framework	Broad policy and general decisions at top, more specific	Decision making widely done throughout organization.

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formally made?		made at lower levels	decisions at lower levels	although well integrated through linking process provided by overlapping groups
b. How adequate and accurate is the information available for decision making at the place where the decisions are made?	Partial and often inaccurate information only is available	Moderately adequate and accurate information available	Reasonably adequate and accurate information available	Relatively complete and accurate information available based both on measurements and efficient flow of information in organization
c. To what extent are decision makers aware of problems, particularly those at lower levels in the organization?	Often are unaware or only partially aware	Aware of some, unaware of others	Moderately aware of problems	Generally quite well aware of problems
d. Extent to which technical and professional knowledge	Used only if possessed at higher levels	Much of what is available in higher and middle levels is	Much of what is available in higher, middle, and lower	Most of what is available anywhere within the

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is used in decision making		used	levels is used	organization is used
e. Are decisions made at the best level in the organization so far as				
(1) having available the most adequate and accurate information bearing on the decision?	Decisions usually made at levels appreciably higher than levels where most adequate and accurate information exists	Decisions often made at levels appreciably higher than levels where more adequate and accurate information exists	Some tendency for decisions to be made at higher levels than where most adequate and accurate information exists	Overlapping groups and group decision processes tend to push decisions to point where information is most adequate or to pass the relevant information to the decision-making point
(2) The motivational consequenc (i.e., doe the decision-making process help to create the necessary moti-	Decision making contributes little or nothing to the motivation to implement the decision, usually yields	Decision making contributes relatively little motivation	Some contribution by decision making to motivation to implement	Substantial contributions by decision-making processes to motivation to implement

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vations in those persons who have to carry out the decision?	adverse motivation			
f. Is decision-making based on man-to-man or group pattern of operation? Does it encourage or discourage teamwork?	Man-to-man only discourages teamwork	Man-to-man almost entirely discourages teamwork	Both man-to-man and group, partially encourages teamwork	Largely based on group pattern, encourages teamwork
5. Character of goal-setting or ordering?				
a. Manner in which usually done	Orders issued	Orders issued, opportunities to comment may or may not exist	Goals are set or orders issued after discussion with subordinate(s) of problems and planned action	Except in emergencies, goals are usually established by means of group participation

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b. To what extent do the different hierarchical levels tend to strive for high performance goals?	High goals pressed by top, resisted by subordinates	High goals sought by top and partially resisted by subordinates	High goals sought by higher levels but with some resistance by lower levels	High goals sought by all levels, with lower levels sometimes pressing to higher goals than top levels
c. Are there forces to accept, resist, or reject goals?	Goals are overtly accepted but are covertly resisted strongly	Goals are overtly accepted but often covertly resisted to at least a moderate degree	Goals are overtly accepted but at times with some covert resistance	Goals are fully accepted both overtly and covertly
6. Character of control processes				
a. At what hierarchical levels in organization does major or primary concern exist with regard to the performance of the control function?	At the very top only	Primarily or largely at the top	Primarily at the top but some shared feeling of responsibility felt at middle and to a lesser extent at lower levels	Concern for performance of control function likely to be felt throughout organization

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b. How accurate are the measurements and information used to guide and perform the control function, and to what extent do forces exist in the organization to distort and falsify this information?	Very strong forces exist to distort and falsify; as a consequence, measurements and information are usually incomplete and often inaccurate	Fairly strong forces exist to distort and falsify; hence measurements and information are often incomplete and inaccurate	Some pressure to protect self and colleagues and hence some pressure to distort; information is only moderately complete and contains some inaccuracies	Strong pressures to obtain complete and accurate information to guide own behavior and behavior of own as related work group; hence information and measurements tend to be complete and accurate
c. Extent to which the review and control functions are concentrated	Highly concentrated in top management	Relatively highly concentrated, with some delegated control to middle and lower levels	Moderate downward delegation of review and control processes; lower as well as higher levels feel responsible	Quite widespread responsibility for review and control with lower units at times imposing more rigorous reviews and tighter controls than top management

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d. Extent to which there is an informal organization present and supporting or opposing goals of formal organization	Informal organization present and opposing goals of formal organization	Informal organization usually present and partially resisting goals	Informal organization may be present and may either support or partially resist goals of formal organization	Informal and formal organization are one and the same; hence a social forces support efforts to achieve organization's goals
7. Performance Characteristics				
a. Productivity	Mediocre productivity	Fair to good productivity	Good productivity	Excellent productivity
b. Excessive absence and turnover	Tends to be high when people are free to move	Moderately high when people are free to move	Moderate	Low
c. Scrap loss and waste	Relatively high unless policed carefully	Moderately high unless policed	Moderate	Members themselves will use measurements and other steps in effort to keep losses to a minimum

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d. Quality control and inspection	Necessary for policing	Useful for policing	Useful as a check	Useful to help workers guide own efforts

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Appendix B

APPLICATION

5. Group Application:

   A. As a group complete one of the three problem situations by consensus:

      1. Survival in the Desert
      2. Moon Survival
      3. Principles of the Principals

   B. At the conclusion of the exercise, compute your score and the group score (if problem 1 or 2). Analyze the results as a group.

   C. Each group member complete the participant Rating Sheet as a basis for determining ratings on the managerial style sheet.

   D. Each group member complete the Managerial Style Sheet for him or herself and provide the other group members your perceptions of their styles.

PRINCIPLES OF THE PRINCIPALS

As principal of the Washington High School in urban Metropolis, Rod Sternbeak had the reputation of being a hard-nosed boss who demanded strict adherence to his instructions and placed great emphasis on the use of formal, as well as informal control methods. When he was first appointed as principal two years ago, a considerable amount of discord developed in the school as a result. As a matter of fact, during his first school year eighteen of the sixty-four certificated and classified personnel either transferred to other schools in the district or resigned because of dissatisfaction with his methods. However, just about the time that the Superintendent of the district was considering removing Sternbeak as principal, the problems in the school subsided as the remaining staff and those he hired accepted his style of leadership. Although he encouraged participation of his staff during the planning stage of a project or program, once he made procedure and scheduling decisions, he expected strict compliance on the part of all personnel.

During his tenure as principal, Rod Sternbeak reduced costs associated with the school by 10% while meeting all time schedules and commitments. He had the reputation of running a tight and efficient operation. Largely because of this record of accomplishment he was offered what he described as an irresistible promotion in a neighboring district and left Washington High School to accept that position.

At first the Superintendent assumed that he would promote someone from within Washington High School. However, he found that no one had really been groomed for the job and, in fact, that no one in the school seemed particularly desirous of going into administration. After several weeks of recruitment he arranged the transfer of Henry Humane, then principal of a smaller high school in the district, to this vacated position. In turn, Humane had one of his assistants take over his previous school. Humane was regarded as a highly-competent principal and although his transfer did not represent a promotion for him, he saw it as an opportunity to gain a greater diversity of experience in a larger more urban school.

Henry Humane was a strong proponent of management by objectives. He believed in making all task assignments in terms of the objectives to be accomplished and leaving it up to the staff to formulate the necessary procedures and methods. He was available for consultation regarding problems, but the staff soon found that he avoided becoming involved in the details of the assignments. After his first month as principal, it was obvious to the Superintendent that things were not going well at Washington High School. Four teachers had complained to their organization and there was even talk of a petition being circulated. In discussing the situation with two or three of the department heads in the teacher's lounge, the Superintendent learned that it was the consensus of the department chairmen that Henry Humane didn't understand the problems of a large high school and was not acting as a supervisor. He refused to specify how objectives were to be accomplished and then held individual employees responsible when they were not completed on time. As a result, the staff was frustrated by the very absence of direction on his part and doubted that Henry Humane was capable of providing the direction even if he wanted to do so.

1. How would you describe Rod Sternbeak's approach to management in terms of managerial style? Be specific; e.g., Theory X-Y, managerial grid, Johari Window, Systems 1-4.
2. Was the employee reaction to Sternbeak's methods predictable?
3. How would you describe Henry Humane's approach to management in terms of managerial style? Be specific; e.g., same as #1.
4. Was the employee reaction to Humane's methods predictable? Why?
5. What should the Superintendent do about the present situation at Washington High School?

PARTICIPANT RATING SHEET

- Please rank yourself and each member of your group on the following eight performance characteristics. Use his or her behavior in the recent group situation as your only guide. The outstanding member on each characteristic would receive a "1", etc. (no ties).
- Total the scores and use as a basis for completing the managerial style sheet.

	NAMES								
	Yourself								
1. Willingness to accept group obligations									
2. Satisfactory completion of group obligations									
3. Positive participation in the group									
4. Ability to identify obstacles or problems to group goals									
5. Ability to help group function in the face of adversity, friction, and/or uncertainty									
6. Awareness of the group's needs									
7. Influence on other members of the group toward group goals									
8. General effectiveness as a member of the group									
TOTAL SCORES									

Guidelines for Giving and Receiving Feedback

A. Giving

- Describe behavior
- Don't just label
- Don't judge persons as good or bad
- Be specific
- Give Information - not advice or preach
- Keep in mind others' needs - not yours
- Check with others
- Check to see if received
- Amount person can use and handle - not amount you can give
- Open Johari
- Level with-not level
- Remember - decision to change is theirs

B. Receiving

- Listen!!!
- Don't :
    - quickly give intent - defend
    - withdraw
    - become aggressive
- Seek clarification
    - check understanding
    - check with others
    - signal information overload
    - open arena
    - change option-yours
    - humor (keep yours)

MANAGERIAL STYLE SHEET

NAMES	Likert - Systems				Theory X - Y	Managerial Grid					Description
	Auto 1	Bene Auto 2	Cons 3	Part 4	Continuum from 10 - 40 Suggested score	1.1	1.9	5.5	9.1	9.9	Phrase Typifying Managerial Style